



EUROPEAN CENTRAL BANK  
EUROSYSTEM

ECB-RESTRICTED

**DECISION OF THE EUROPEAN CENTRAL BANK**  
**of 12 April 2018**  
**amending the European Central Bank Staff Rules as regards**  
**performance management and development**  
**(ECB/2017/NP13)**

THE EXECUTIVE BOARD OF THE EUROPEAN CENTRAL BANK,

Having regard to the Treaty on the Functioning of the European Union,

Having regard to the Statute of the European System of Central Banks and of the European Central Bank, and in particular Article 36.1 thereof,

Having regard to Decision ECB/2004/2 of the European Central Bank of 19 February 2004 adopting the Rules of Procedure of the European Central Bank<sup>1</sup>, and in particular Article 21.3 thereof,

Having regard to the opinion of the Staff Committee,

Whereas:

- (1) The system of annual appraisal used by the European Central Bank (ECB) is currently regulated by the 'Guide to the ECB Appraisal' endorsed by the Executive Board on 14 June 2011. The European Central Bank Staff Rules do not currently explicitly provide for the regular assessment of the performance and development of members of staff.
- (2) For reasons of transparency and consistency it is considered appropriate for a new part on performance management and development to be added to the European Central Bank Staff Rules.
- (3) The results of the staff survey conducted in 2015 indicate that members of staff would welcome an increased focus on professional development in the annual review process and more frequent interaction between reviewees and reviewers.
- (4) In order to achieve a higher quality annual review, it is considered appropriate to enhance the quality and frequency of the dialogue on performance and development between the reviewee and the reviewer, by introducing an interim review to be carried out at least once within the reference period,

HAS ADOPTED THIS DECISION:

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<sup>1</sup> OJ L 80, 18.3.2004, p. 33.

*Article 1***Amendment**

The following Part 2A is inserted:

**'PART 2A PROFESSIONAL DEVELOPMENT****Performance management and development****2a.1 Participants and reference period**

The key participants in the performance management and development process are:

- (a) the reviewee, who is the member of staff for whom objectives are set and who is subject to the interim or annual review;
- (b) the first reviewer, who is the person who supervises the reviewee's work, which:
  - (i) for the purposes of objective setting and for the interim review, is the person supervising the reviewee either on the date of the discussion regarding the objective setting or on the date of the interim review, as the case may be; and
  - (ii) for the purpose of the annual review, is the person supervising the reviewee's work at the end of the reference period;
- (c) the second reviewer, who is the first reviewer's direct line manager. Upon a proposal by the head of the business area in which the reviewee works, the Director General Human Resources or their Deputy, or the Chief Services Officer for staff working in the Directorate General Human Resources, may decide that a staff member other than the first reviewer's direct line manager shall be the second reviewer, or – in exceptional cases - that there shall be no second reviewer.

The reference period for the regular performance management and development shall be the period from 1 September of each year until 31 August of the following year. When a reviewee's employment with the ECB starts after 1 September, the reference period for the regular assessment of performance and development shall begin on the first day of employment and end on the next 31 August.

**2a.2 Annual objective setting**

The first reviewer shall assign to every reviewee, based on their required competencies and skills, objectives to be achieved and professional development activities to be carried out during the reference period. Insofar as possible, this assignment shall be made pursuant to a proposal from the reviewee and a discussion between the reviewee and the first reviewer.

**2a.3 Interim review**

An interim review shall take place at least once within the reference period, insofar as possible through a discussion between the reviewee and the first reviewer. The aim of the interim review is to assess the reviewee's professional development and the progress made

towards the assigned objectives. The interim review shall also take into account significant changes to the assigned objectives. In the event that the reviewee has not been in the service of the ECB, as defined in Article 2a.4.2, for a significant part of the reference period, the first reviewer may decide not to hold an interim review in respect of that reference period.

#### **2a.4 Annual review**

2a.4.1 For the purposes of the annual review, the first reviewer shall collect from third parties input relative to the reviewee's past performance if the reviewee has worked with such third parties to a significant extent within the reference period. The first reviewer shall take this input into consideration in the review.

2a.4.2 An annual review covering the previous reference period shall be carried out in respect of every member of staff who was in service for at least three months during that reference period.

For the purposes of calculating this minimum three month period of service:

- periods of secondment, annual leave, special leave, maternity and adoptive leave, and sick leave, shall be considered as periods of service;
- periods of parental leave and unpaid leave, except unpaid leave taken in connection with special leave in accordance with Articles 5.10.2 and 5.10.3, shall not be considered as periods of service;
- the time during which a member of staff is on full time dispensation for reasons relating to staff representation shall only be considered as a period of service if the staff representative so requests.

2a.4.3 The aim of the annual review is to assess the reviewee's performance during the reference period, relative to the required competencies and skills, the assigned objectives and professional development activities. This assessment shall take place insofar as possible through discussions held, respectively, between the reviewee and the first reviewer and between the reviewee and the second reviewer, and shall relate solely to the reviewee's performance without comparing it to that of other members of staff.

#### **2a.5 Completion of forms**

2a.5.1 On conclusion of the annual review and objective setting the reviewee and the first reviewer shall complete the annual review form, and the first and second reviewers shall each provide a summary of the assessment carried out pursuant to Article 2a.4.3. The completed annual review form shall be stored in the ECB's internal electronic system.

2a.5.2 Each annual review form stored in the ECB's internal electronic system shall constitute an integral part of the reviewee's personal file in accordance with Article 1.1.1. Reviewers and managers of the reviewee in the reporting line up to business area head level, as well as persons managing the performance management and development process within the Directorate General Human Resources, shall have access to these annual

review forms for a maximum period of five years from their date of completion, exclusively for the purpose of performance management and development management. The forms shall be retained for a maximum period of ten years commencing on the date of their completion.

- 2a.5.3 If the annual review results in an assessment of underperformance on the part of the reviewee, the first reviewer shall include the elements set out in Article 8.5.2 in the annual review form. Where a second consecutive annual review establishes underperformance an underperformance procedure may be initiated as provided for in Article 8.5.

## **2a.6 Rights and duties**

- 2a.6.1 Throughout all stages of the performance management and development process set out in this Part, reviewees shall have the right: (a) to submit observations to their reviewers which will be included in the review form; and (b) to involve the Directorate General Human Resources, a Social Counsellor or a Staff Representative in the event of disagreement with their reviewers.

Reviewees shall also have the duty: (a) to cooperate with their reviewers and with the Directorate General Human Resources, although failure to do so shall not prevent completion of the process; and (b) to close their annual review form within two weeks after receiving it from the second reviewer, or from the first reviewer if there is no second reviewer, and if this not done the Directorate General Human Resources is entitled to close the annual review form.

- 2a.6.2 The second reviewer shall intervene in the event of disagreement between the reviewee and the first reviewer.

- 2a.6.3 Staff representatives who are on full time dispensation during an entire reference period, and who do not expect to be on full time dispensation during the next reference period, may ask their line manager for the annual objective setting to be conducted in advance.'

### *Article 2*

#### **Transitional provision**

This decision is without prejudice to any annual objective setting carried out for the reference period commencing 1 September 2017 and prior to its date of entry into force.

*Article 3*

**Entry into force**

This decision shall enter into force on 16 April 2018.

Done at Frankfurt am Main, 12 April 2018.

[signed]

*The President of the ECB*

Mario DRAGHI

ECB-PUBLIC